



# Merit Board Retreat

State Universities Civil Service System

August 8, 2014



# Orientation and Discussion Topics

## **I. System History/Purpose/Mission**

## **II. Merit Board Dynamics**

- Organizational Structure
- Relationships
- Role and Responsibilities

## **III. Agency Overview**

- Organizational Structure
- Class Plan Management
- Compliance Program (Audit)
- Initiatives
- Challenges

## **IV. Goal Review and Development**

- Overview of Current Goals/Metrics
- Goal Realignment
- Corresponding Agency/Director Evaluation

# State Universities Civil Service System

- The State Universities Civil Service System was created and established on January 1, 1952 when the State Universities Civil Service Act (Act) was passed by the 67th General Assembly and became law.
- The State Universities Civil Service System, as delegated and authorized through the State Universities Civil Service Act (Act) (110 ILCS 70/36b et. seq.), has jurisdiction over all designated places of employment at institutions (Employers) identified in the Act (110 ILCS 70/36b(2)) as follows:

Illinois Community College Board  
Illinois Student Assistance Commission  
Illinois Board of Higher Education  
Governors State University  
Northeastern Illinois University  
State Universities Civil Service System  
State Universities Retirement System

Southern Illinois University  
Chicago State University  
Eastern Illinois University  
Illinois State University  
Northern Illinois University  
University of Illinois  
Western Illinois University

# Our Purpose

As defined by the Act, “the purpose of the University System is to establish a sound program of personnel administration” for the Illinois Higher education community. With respect to this statutory obligation, the System:

- Develops, administers and maintains an equitable and consistent program of human resource administration at state supported institutions of higher education and other specified allied agencies.
- Develops and administers the basic administrative rules, policies, and procedures related to the employment of professional (non-academic), technical, and support staff at each university/affiliated agency, and the subsequent employment relationships.
- Provide direct guidance and support services to universities/agencies in such areas as employment, classification plan management, salary administration, statutory compliance, disciplinary procedures, and other business operations related to the personnel management of support staff positions.
- Develops and maintains accountability and compliance standards for employers designated under its jurisdiction.

***Note: SUCSS does not have technical jurisdiction over affirmative action/diversity plans at specific employment sites.***





# Our Mission

The State Universities Civil Service System strives to champion excellence in education and auxiliary programs by providing a comprehensive foundation of human resource practices and standards that facilitate the recruitment, retention, and development of a quality staff, in support of the teaching and research mission of each university and affiliated agency. We are committed to providing an environment of equal opportunity and access to all services and thereby establishing a foundation for each university/agency to fulfill their mission and each individual to reach their potential. We endeavor to build a quality of life that sets the standard for the nation.



# State Universities Civil Service System

## Innovative Features

- Decentralized administration with day-to-day HR operations managed through empowerment of Designated Employer Representatives (DER's).
  - Greater efficiency and effectiveness
  - Limits statewide administrative costs
  - Increased flexibility through supplemental campus policy directives
  - More timely policy implementation on local procedure
- Direct focus on public university academic and business environment with an emphasis on common teaching and research mission and goals.
- Business operations require statewide collaboration and direct involvement of system constituency primarily through several advisory committees and other business relationships.
  - Preservation of integrity in organizational link
  - Builds confidence in business processes and outcomes.
  - Increased trust and confidence in organizational relationships



# State Universities Civil Service System Innovative Features

- Procedures to be based on efficiency and economy in operation.
- Focus on equal access and opportunity for all applicants.
- Employment priority is the selection of most highly qualified personnel.
- Minimal compensation oversight enabling employment institution to direct their own compensation plans.



# Merit Board Dynamics

## A. Organizational Structure

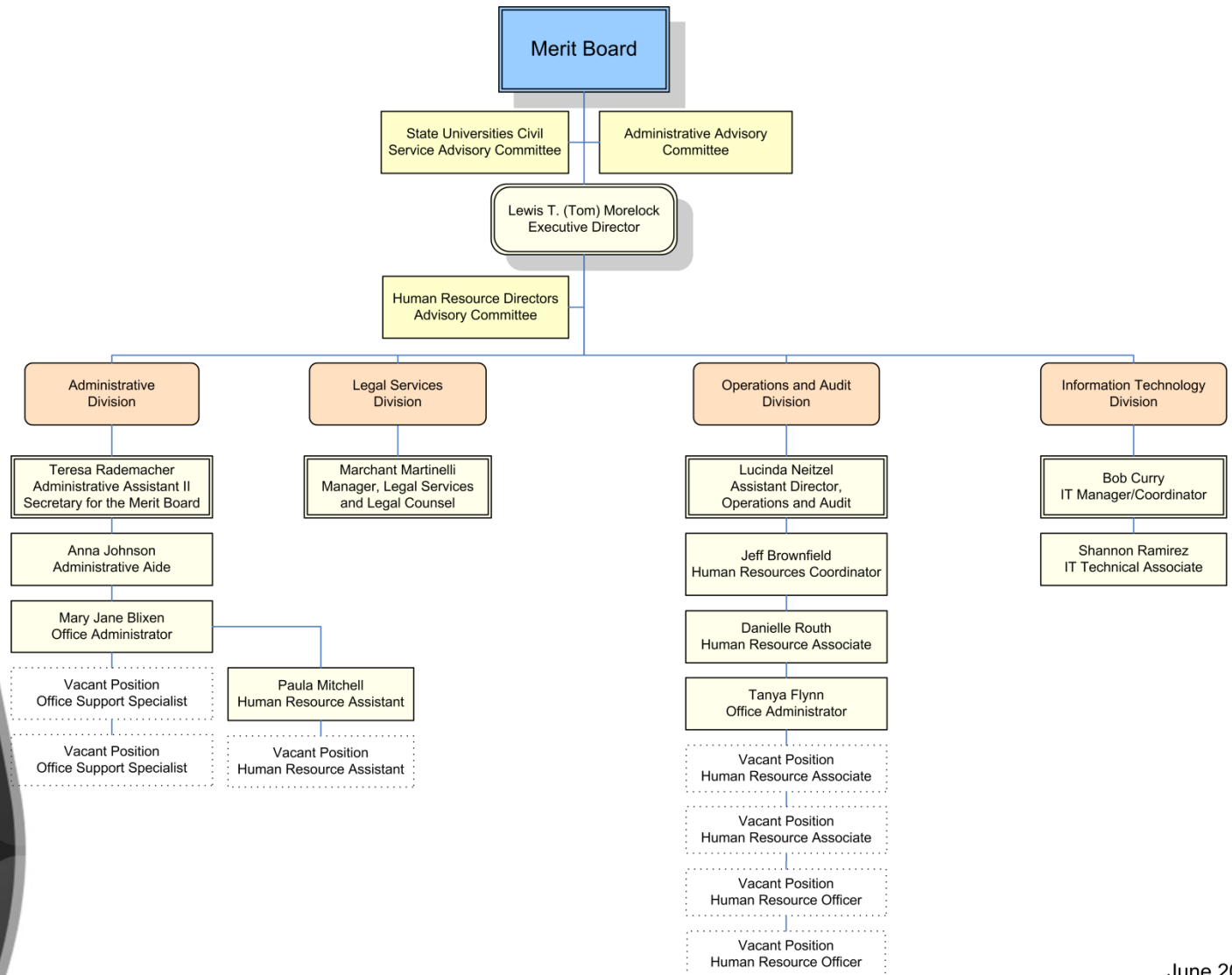
## B. Relationships

- Executive Director
- Advisory Committees
- University Boards

## C. Role and Responsibilities

- Governance and Oversight
  - Policy
  - Operational Goals
- Final Appeal Authority
  - Review Decisions
  - Discharges
- Public Conduct
  - Meeting Requirements
  - By-Laws
  - Open Meetings Act
  - Freedom of Information Act
  - Ethics
- Communications
  - Public forums
  - Formal development and distribution
  - Ex-parte

# Organizational Chart





# Relationships – Executive Director

- Primary agency administrator for all fiscal and business operations
- Duties and responsibilities designated through statute/administrative rules/procedures and as specifically designated by Merit Board action
- Reports directly to Merit Board, and technically serves at the will of the Board
- No formalized contractual obligation in place at this time
- Position description and periodic evaluations managed by Merit Board
- Evaluation includes review of progress in achieving agency goals/objectives
- Salary set yearly through Merit Board action
- Exempt from CS guidelines (70/36e(1) of the Act)



## **Relationships – Advisory Committees**

- Employee Advisory Committee
- Human Resource Directors Advisory Committee
- Administrative Advisory Committee



# Employee Advisory Committee (EAC)

- Statutory obligation
- Membership includes civil service employees elected by employment location
- Direct advisory committee to Merit Board
- Regular meeting designations and financial reimbursement required by law
- Bylaws established and maintained by EAC
- EAC manages membership elections, agenda topics, meeting conduct and activities
- Committee Chair and officers elected by EAC
- Subject to Open Meetings Act and Freedom of Information Act
- System Office maintains formal communications, minutes, bylaws, compliance components, website link
- Direct interaction at every meeting with System Office and Executive Director
- Provides report at each Merit Board meeting
- No direct Merit Board participation on this committee
- Website link - [www.sucss.illinois.gov/eac](http://www.sucss.illinois.gov/eac)



## Human Resource Directors Advisory Committee (HRDAC)

- Originally established by Executive Director some time prior to 1990, inactivated for a period of time in the late 1990's
- Reactivated by new Executive Director in 2002
- Membership includes all 'designated employer representatives' as formally recognized by System office and Merit Board
- Established to provide direct input to System Office on specific operational aspects
- No formal Bylaws or guidelines
- Executive Director chairs the HRDAC
- Participation has expanded to include other relevant human resource personnel
- Direct advisory committee primarily to System Office
- Meetings/Agenda managed by System Office with direct opportunities and input from members
- Designated member provides regular report of committee activities to Merit Board
- Currently not subject to Open Meetings Act and Freedom of Information Act
- System Office maintains formal communications, meeting notes, compliance components, website link
- Direct interaction at every meeting with System Office and Executive Director
- No direct Merit Board participation on this committee
- Website link - [www.sucss.illinois.gov/hrdac](http://www.sucss.illinois.gov/hrdac)

# Administrative Advisory Committee (AAC)

- Originally established by Merit Board action some time prior to 1990
- Established to provide direct input to Merit Board on specific operational aspects, most specifically on employer financial implications
- Membership includes the primary financial administrator at each university/institution under Merit Board jurisdiction
- No formal Bylaws or guidelines
- Merit Board Chair was designated to also chair the AAC
- Participation has been low recently, with many direct members sending other human resource representatives
- Meetings/Agenda managed by System Office with direct opportunities and input from members
- Executive Director provides regular report of committee activities to Merit Board
- Currently not subject to Open Meetings Act and Freedom of Information Act
- System Office maintains formal communications, meeting notes, compliance components, website link
- Direct interaction at every meeting with System Office and Executive Director
- Merit Board Chair is designated chair of AAC, with Executive Director acting as chair in their absence
- Website link - [www.sucss.illinois.gov/aac](http://www.sucss.illinois.gov/aac)



# Relationships – University Boards

- University BOTs designated by law to elect, or otherwise appoint, Merit Board members
- MB and BOT obligations and responsibilities are distinctly different and discrete
- MB and BOT are governed by different laws/rules with differing objectives/perspectives
- No reporting line or obligation to BOT through MB position
- BOT role is primary university governance authority with laws focused on university objectives, goals, operations
- MB role is Civil Service System governance authority with laws focused on agency operations and specific personnel management focus
- Dual and distinctly different roles inherently create conflict of interest issues, most specifically related to decision-making processes and ex-parte communications



# Merit Board – Role/Responsibilities

## Governance and Oversight

- Autonomous, self-governing in decision-making process regarding System operations and regulations
- Policy approval, oversight authority
  - ✓ Statute
  - ✓ Administrative Rules
  - ✓ Procedures (website link - [www.sucss.illinois.gov/ProcMan/manuals.aspx](http://www.sucss.illinois.gov/ProcMan/manuals.aspx) )
  - ✓ Agency Policies
- Administer and evaluate goals and operational objectives
  - ✓ Establish and approve Agency goals/benchmarks
  - ✓ Establish expectations and evaluate success



# Merit Board – Role/Responsibilities

## Final Appeal Authority

- Appeals of Executive Director Reviews/Decisions
  - ✓ Regulatory Process
  - ✓ Public meeting presentation, review, and decision
- Discharge Appeals
  - ✓ Regulatory Process
  - ✓ Hearing Officer evaluation of evidence and charges only
  - ✓ Public meeting presentation, review, and decision



# Merit Board – Role/Responsibilities

## Director's Review Decisions

- Review procedures captured in section 250.130 of administrative code (rules)
- Any action or omission by a designated employer representative is the basis for a formal inquiry and decision by the Director
- Director's decision may be appealed to Merit Board for final ruling
- If no appeal to Merit Board, Director decision becomes final Merit Board decision
- Merit Board decision is the final agency administrative decision
- Merit Board decision is subject to administrative review in accordance with Administrative Review Law

# Merit Board – Role/Responsibilities

## Discharge Decisions

- Discharge procedures captured in section 250.110(f) of administrative code (rules)
- Employer initiates discharge process by filing formal Written Charges for Discharge paperwork with Merit Board
- Employee must formally appeal employer intent to discharge or the discharge of employee is effective without any Merit Board action
- Upon employee appeal, discharge hearing conducted by System Office with designated Hearing Officer
- Hearing Officer presents findings of fact related to evidence supporting charges
- Merit Board determines final disposition of discharge
- Decisions rendered are typically discharge, reinstatement, or reinstatement with 60-day suspension without pay
- Merit Board has capability to issue any other decision in these cases
- Merit Board decision is the final agency administrative decision
- Merit Board decision is subject to administrative review in accordance with Administrative Review Law

# Merit Board – Role/Responsibilities

## Discharge Flowchart

1. Employer initiates preliminary proceedings to discharge (by request of supervisor)



2. Employer notifies employee in writing of intent to discharge with specific charges in sufficient detail to advise the employee of nature of conduct on which proposed charges are to be based. Employee may be placed on excused leave, with pay, if presence on the job might constitute a considerable risk of injury to life or property, or might cause a disruptive effect on operations.



3. (A) If requested by the employee, the employer shall convene a conference within 3 work days of service of the notice of intent to discharge; (B) Or employee may respond in writing within 3 work days of service of notice of intent to discharge; or (C) Both A and B.



4. Within 7 work days following compliance with A, B, or C, employer makes decision to rescind notice of intent to discharge (with possible implementation of lesser disciplinary measures) or to proceed with discharge.



5. If employer decides to discharge, proceedings before the Merit Board are initiated by service of Written Charges for Discharge. If employee's presence on the job might constitute substantial risk or injury to life or property, or might cause a disruptive effect on operations, a Suspension Notice Pending Discharge may be issued. Written Charges for Discharge are sent to the Merit Board and must be accompanied with a certification that all procedures set forth in section 250.110(f)(1) of the Illinois Administrative Code (80 Ill. Adm. Code §250.110(f)(1)) have been followed and there has been full compliance with options elected by employee; or a statement that employee did not respond in any way to the notice of proposal to discharge.



6. After receipt of Written Charges for Discharge, the employee has a right to submit an appeal to the Merit Board. The employee must submit a written request for a Hearing to the Secretary for the Merit Board within 15 calendar days of personal service or mailing of the Written Charges for Discharge.



7. A Hearing is then scheduled within 45 calendar days from the date of the proof on service on employee, with a goal of a maximum of no more than 2 hearing days for completion.





# Merit Board – Role/Responsibilities

## *Discharge Flowchart (continued)*

8. A Transcript of the Hearing is filed with the Secretary for the Merit Board as soon as possible. The employer is responsible for all costs associated with the Court Reporter.



9. The transcript, along with the Exhibits and other hearing documents, are sent to Hearing Officer. "Findings of Fact" of Hearing Officer or Hearing Board are filed with Secretary for the Merit Board within 15 calendar days after receipt of official transcript/exhibits/documents unless time is extended by Executive Director for good cause shown.



10. Hearing Record is then certified and sent to parties of record with an opportunity to respond within 14 calendar days of date of postmark of notice of certification. An appropriate motion for oral argument before the Merit Board must be filed with the Secretary of the Merit Board, with notice to all parties, within 14 calendar days of date of postmark of notice of certification.



11. During all previous steps an employee may resign at which time all proceedings are rescinded and records expunged.



12. Chair of the Merit Board and/or Executive Director have the authority to extend any time period, except for the 15-day Statute period for requesting a Hearing.



13. At the expiration of the 14-day period in step 10, Certified Hearing Record, as supplemented, is then forwarded to the members of the Merit Board for consideration at their next scheduled meeting.



14. Upon review of the total Record, the Merit Board orders Discharge or Reinstatement of employee with no loss of compensation, or Reinstatement of employee with 60-day Suspension. The Merit Board has the authority to also issue any other order as deemed necessary.



# Merit Board – Role/Responsibilities

## Public Conduct

- Meeting/organizational requirements
- Captured in Merit Board By-Laws
- Subject to statutory obligations
  - Open Meetings Act
  - Freedom of Information Act
  - Ethics Regulations
    - Illinois Governmental Ethics Act
    - State Officials and Employees Ethics Act

# Merit Board – Role/Responsibilities

## Communications

- Public forums
  - Meetings
  - Committee meetings
  - Executive session
- Formal development and distribution through Merit Board Secretary
  - Decisions rendered
  - Process management
- Subject to statutory obligations
  - Open Meetings Act
  - Freedom of Information Act
  - Merit Board By-Laws
  - Administrative Code (rules)
  - Ethics regulations
    - State Officials and Employees Ethics Act
  - ‘Ex-parte communications’

# Merit Board Meeting Requirements

- All quorum determinations and voting procedures of the Merit Board shall be held in accordance with the Open Meetings Act (5 ILCS 120/1 *et seq.*) and the Act.
  - Quorum is Six (6) members of the Merit Board physically present at the meeting location of an open meeting.
  - The Chair shall be counted in determining the presence of a physical quorum and the existence of a majority vote.
- Once a quorum of Merit Board members are physically present at the open meeting location, a Merit Board member may attend and vote by other means, such as audio or video conference, provided that:
  - The Merit Board member wishing to participate by other means notifies the Secretary for the Merit Board before the meeting and provide the reason he/she is prevented from attending the meeting physically;
    - Such attendance is approved based on (i) personal illness or disability; (ii) employment purposes or the business of the Merit Board; or (iii) a family or other emergency (5 ILCS 120/7).
  - At the open meeting at which the Merit Board member wishes to attend by other means, the majority of Merit Board members physically present must approve attendance by a majority vote.
- Each Merit Board member shall participate in the discussion leading to the specific vote on any action item and he/she shall cast their own vote. Votes shall not be cast by proxy or in any other form except by direct personal participation.
  - Provided there is a physical quorum, a majority vote of the members of the Merit Board in attendance shall be required to approve any action.

# Merit Board Bylaws

Bylaws govern the following aspects of the Merit Board in conjunction with applicable statutes:

- Merit Board Membership
- Powers and Duties of the Merit Board
- Elections of Officers of the Merit Board
- Powers and Duties of Officers of the Merit Board
- Director and Secretary Duties for the Merit Board
- Merit Board Operating Procedures
  - Quorum and Voting Procedures
  - Audio Conference Attendance
  - Rules of Order
  - Order of Business
  - Filing Periods
  - Appearances before the Merit Board
  - Oral Argument before the Merit Board
- Meetings requirements
- Committee requirements

“These bylaws may be amended, suspended, or repealed at any regular meeting of the Merit Board by a majority vote of a quorum present. These bylaws are intended to be supplemental to the applicable statutes and not in conflict.”

Merit Board Bylaws Article IX

# Open Meetings Act (OMA)

- Applies to all public bodies (i.e. The Merit Board)
  - All meetings must be considered open, unless it meets one of the few exceptions in Section 2a [5 ILCS 120/2a] of the OMA.
    - A meeting is defined as any gathering of a majority of a quorum of the members of a public body where public business is discussed.
  - Requires public notice be given for all meetings (open and closed), providing date, time and place of the meeting.
- Violation of the OMA is a criminal offense, a class C misdemeanor, punishable by a fine up to \$1500 and imprisonment for up to 30 days.

5 ILCS 120/4

# Freedom of Information Act (FOIA)

- FOIA allows members of the public to request copies of public records from public bodies.
- Applies to:
  - Public bodies (i.e. The Merit Board)
  - Public Records: “all records, reports, forms, writings, letters, memoranda, books, papers, maps, photographs, microfilms, cards, tapes, recordings, electronic data processing records, electronic communications, recorded information and all other documentary materials pertaining to the transaction of public business, regardless of physical form or characteristics, having been prepared by or for, or having been or being used by, received by, in the possession of, or under the control of any public body.”  
5 ILCS 140/2(c)
- A public body has 5 days to respond to a FOIA request.
- The request may be made in any written form and there is a FOIA request form on the State Universities Civil Service System website.
- If the court determines that a public body willfully and intentionally failed to comply with this Act, or otherwise acted in bad faith, the court shall impose upon the public body a civil penalty of not less than \$2,500 nor more than \$5,000 for each occurrence.

5 ILCS 140/11(j)

*Mari Martinelli is the FOIA officer for the State Universities Civil Service System and the Merit Board.*

# State Officials and Employees Ethics Act

- Public officers or employees, including state employees, commit official misconduct when, in their official capacity, they:
  - intentionally or recklessly fail to perform any mandatory duty as required by law;
  - knowingly perform an act which they know they are forbidden by law to perform;
  - perform an act in excess of their lawful authority with intent to obtain personal advantage for themselves or another; or
  - solicit or knowingly accept for the performance of any act a fee or reward which they know is not authorized by law.
- Many state employees have personal, financial, or business interests, second jobs, or volunteer activities that have the potential to conflict with their official work on behalf of the state.
  - A conflict of interest occurs when the interests of a state employee are in conflict with the interests of the state. This might occur, for example, when a decision or recommendation that an employee makes, relative to his or her official position, either affects or is affected by his or her personal interests or those of a family member, friend, or associate.
- Public officers or employees convicted of violating any of these provisions forfeit their office or employment. In addition, they commit a Class 3 felony

5 ILCS 140/11(j)

*Mari Martinelli is the Ethics officer for the State Universities Civil Service System and the Merit Board*

**Additional info can be found at:** [www2.illinois.gov/oeig/etcc/Documents/Ethics\\_Reference.pdf](http://www2.illinois.gov/oeig/etcc/Documents/Ethics_Reference.pdf)



# Communication

E-mails should not be used to transmit messages concerning Merit Board business by and between a majority of a quorum of Merit Board members except for the communication of factual matters such as:

- 1) requests for available dates and times for meetings,
- 2) meeting reminders, and
- 3) agenda materials.

Generally, the mere dissemination of information by e-mail does not constitute a meeting and the passive receipt of e-mail does not automatically constitute a meeting. However, the active exchange of information and opinions through an e-mail or through forwarding of e-mails can constitute a meeting.

Merit Board By-Laws, Art. VII Sect. I

# Ex-parte Communication and the Ethics Act (5 ILCS 430/5-50)

- "Ex parte communication" means any written or oral communication by any person that imparts or requests material information or makes a material argument regarding potential action concerning regulatory, quasi-adjudicatory, investment, or licensing matters pending before or under consideration by the agency.
- "Interested party" means a person or entity whose rights, privileges, or interests are the subject of or are directly affected by a regulatory, quasi-adjudicatory, investment, or licensing matter.
- An ex parte communication received by an agency, agency head, or other agency employee from an interested party or his or her official representative or attorney shall promptly be memorialized and made a part of the record. [5ILCS 430/5-50(b-5)]
- An ex parte communication received by any agency, agency head, or other agency employee, other than an ex parte communication described in subsection (b-5), shall immediately be reported to that agency's ethics officer by the recipient of the communication and by any other employee of that agency who responds to the communication. The ethics officer shall require that the ex parte communication be promptly made a part of the record. The ethics officer shall promptly file the ex parte communication with the Executive Ethics Commission, including all written communications, all written responses to the communications, and a memorandum prepared by the ethics officer stating the nature and substance of all oral communications, the identity and job title of the person to whom each communication was made, all responses made, the identity and job title of the person making each response, the identity of each person from whom the written or oral ex parte communication was received, the individual or entity represented by that person, any action the person requested or recommended, and any other pertinent information. The disclosure shall also contain the date of any ex parte communication.
- Participation of ex-parte communication is a violation of the Ethics Act.

# Agency Overview

## **A. Organizational Structure**

## **B. Class Plan Management**

## **C. Compliance Program (Audit)**

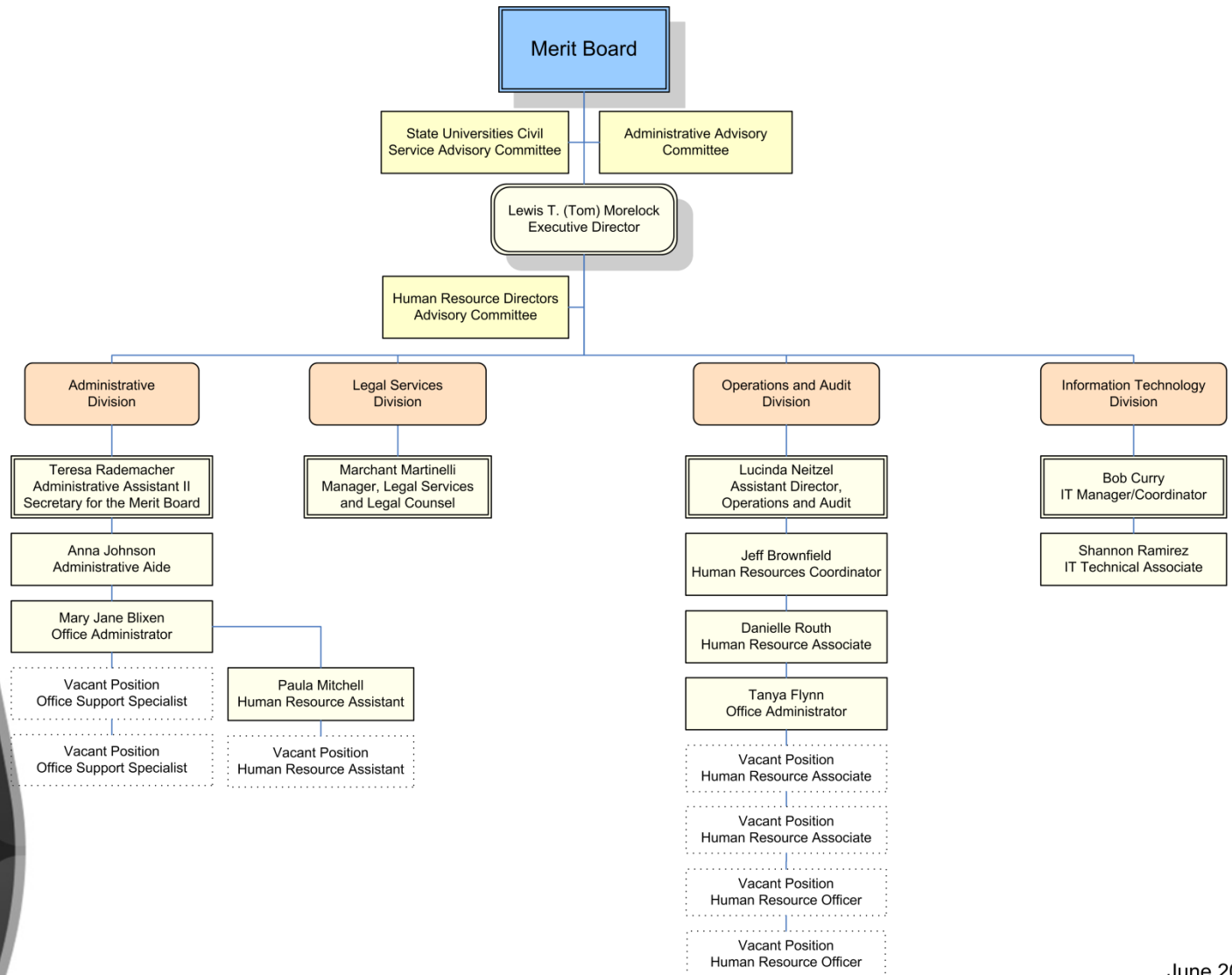
## **D. Initiatives**

- Technology
  - Website
  - E-Test
  - Job Analysis
  - Salary Data System
- Demonstration Projects
- Electronic File Conversion
- Update of Operational Policies/Regulations
  - Statute
  - Administrative Code (Rules)
  - Procedure Manuals
  - Agency Policies
- Consultative Services

## **E. Challenges**

- System Office
  - Budget/Staffing
  - Facilities
  - Communications
- System-wide
  - Culture
  - Political Influence
  - Change Management
  - Exemptions

# Organizational Chart





# Classification Plan Management

## Classification Specifications

- Organization of jobs into classes
- Classes based on function, duties and responsibilities
- Characteristic duties and responsibilities
- Minimum Acceptable Qualifications
- Special licenses or certifications
- Flexibility in additional desirable qualifications based on specific position needs



# Classification Plan Management

## Importance of Classifying Positions

- Objectivity
- Standardization
- Equity
- Serves as a management tool
- Delineates authority and chains of command
- Provides equitable salary scales



# Classification Plan Management

- The Classification Plan Structure is divided into 16 Occupational Areas and several Work Groups.

## Occupational Areas

01 professional

03 managerial

05 stores

07 agricultural

09 domestic services

11 heat, light, and power services

13 protective

15 semi-skilled trades

02 semi-professional

04 clerical

06 aeronautical

08 custodial services

10 food services

12 medical services

14 skilled trades

16 unskilled trades



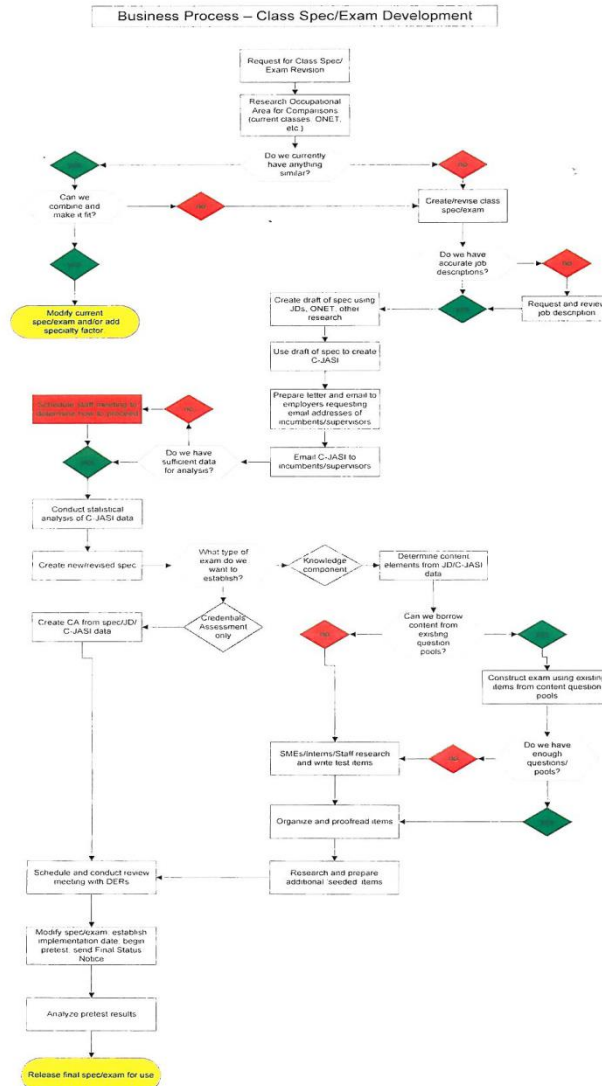
# Classification Plan Management

## Maintenance of Plan

- Revision and Consolidation of Classifications (Priority)
  - Work towards eliminating redundancy while maintaining occupational trends
  - Review current specifications to assure that any proposed, new classification is truly unique.
- Each Civil Service Classification has a corresponding Examination
- Classification/Examination Development
  - Approximately 1,150 Class Specifications/Examinations
  - Comprehensive Procedures regarding spec/exam development
  - Business processes require collaboration with employers
  - Follows a defined business model



# Classification Plan Management



# Classification Plan Management

## Examination Review/Creation

- Credentials Assessment Examination
  - Utilize draft class specification/research, etc. to create a draft examination
  - Components reviewed by System Subject Matter Experts (SME)
  - Points allocated based on standard resume review
- Knowledge Examination
  - Develop knowledge exam components
  - Input from System Subject Matter Experts (SME)
  - Utilize current question pools



# **Class Plan and Employment Flexibilities**

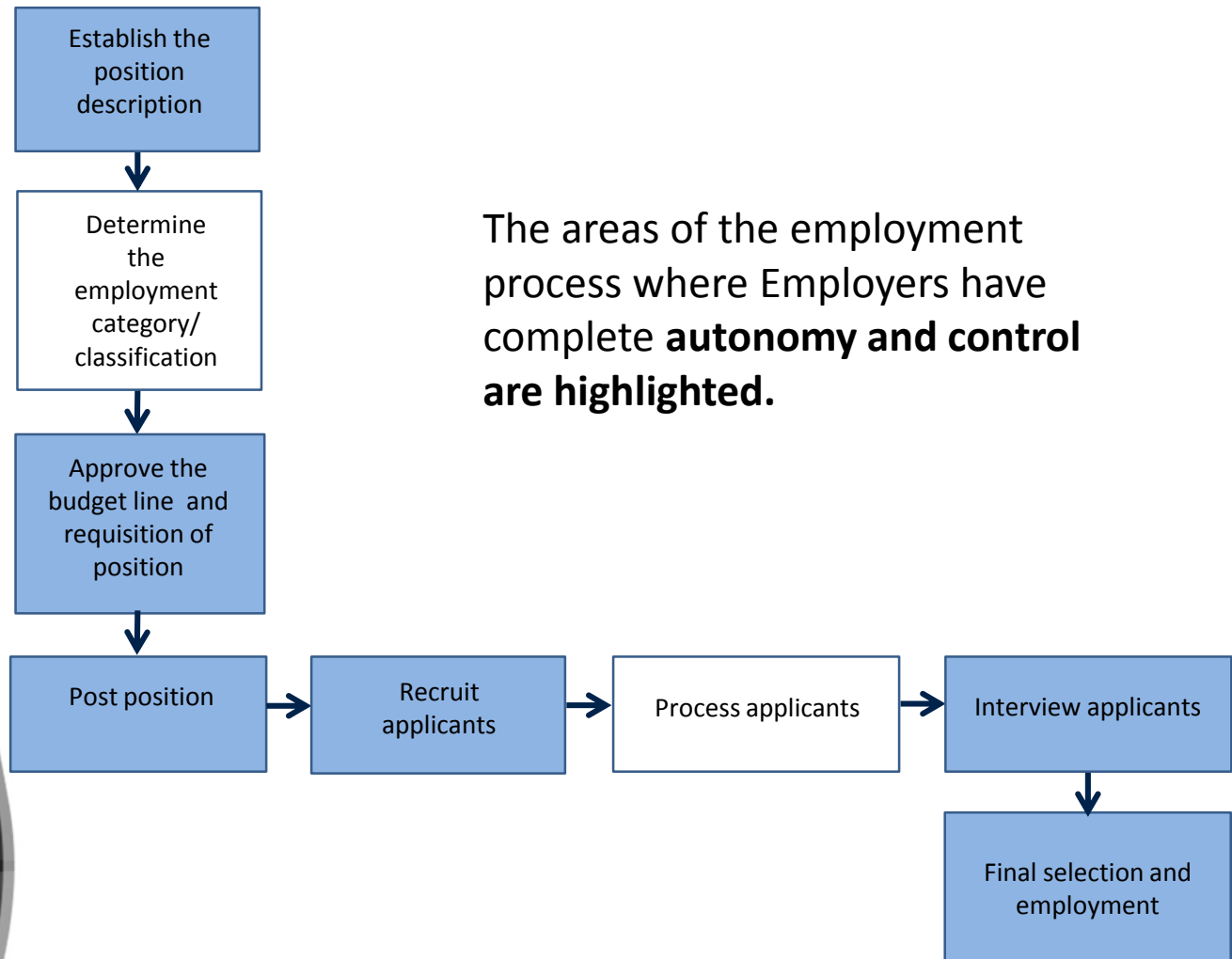
- Assigning Specialty Factors
- Custom Classifications
- Permissive Removal Rules
- Banded Scoring Variables
- Building Structures Within a Class
- Building Structures Between Classes

# Classification Plan Management

## System Office Transaction Reviews (Totals for FY2014)

Audit Appeals	1
Compensatory Qualifications	65
C-JASI Completions	43
Courtesy Scored Exams	21
Examination Question Challenges	52
Requests for Extra Help Extension	99
Requests to Establish Intern Appt.	42
Pre-Tests Administered	109
Examination Rechecks	52
Requests for Specialty Factors	117

# Basic Employment Process





# Compliance Program (Audit)

## Biennial Institutional Compliance Audit Process (BICAP)

Each University and Agency covered by the System is audited once every two years.

Specific areas of review include the following:

- Assignment of Positions to Class
- Compensation Programs
- Employment and Separation Procedures
- Examination Procedures
- Statutory Exemptions
- Human Resource Business Processes and Procedures
- Audit Follow-Up Activities



# Compliance Program (Audit)

Specific areas of review include the following:

- A. Assignment of Positions to Class
  - Position Control Management
  - Sampling of Civil Service Position Descriptions
  - On-Site Desk Audits (Incumbent Interviews)
- B. Compensation Program
  - Civil Service Pay and Payroll Document Review
  - Ensure Employees are Compensated Within Established Ranges
  - Market Analysis



# Compliance Program (Audit)

## C. Employment and Separation Procedures

- Review Personnel Records
- Register Maintenance and Proper Referrals (Rule of 3)
- Determine Credentials for Employment
- Documentation Review; Probationary Evaluations, Disciplinary Suspensions, Voluntary Demotions, Dismissals, Layoffs, etc.
- Review of Personnel Transactions; Temporary Upgrades, Extra Help Appointments, Trainee Programs, Contract Appointments, etc.





# Compliance Program (Audit)

## D. Examination Procedures

- Examination Inventory
- E-Test Register Maintenance and System Security
- Environmental Controls and Security of Exam Materials

## E. Statutory Exemptions/Principal Administrative Appointments

- Sampling of Exempt Position Descriptions
- On-Site Interviews With Exempt Employees
- Review Payroll Data
- Ensure Proper Categorization of Exemptions

## F. Human Resource Processes and Procedures (Overall)

## G. Follow-Up Activities

# Compliance Program (Audit)

## Audit Reporting Structure

- **Draft Audit Report (DAR)**
  - Contains Material and Non-Material Findings
  - Distribution to HR Director, Direct Supervisor, and Internal Auditor Only
- **Exit Conference (Only at Campus HR Request)**
- **Institutional Corrective Action Plan (ICAP)**
  - Official Response From Agency/University to Findings
- **Final Audit Report (FAR)**
  - Contains Only Material Findings
  - Distribution to HR Director, Direct Supervisor, Internal Auditor, and Merit Board Members
  - Published Online at [www.sucss.illinois.gov](http://www.sucss.illinois.gov)
- **Non-Material Supplemental Report**
  - Contains Only Non-Material Findings
  - Distribution Limited to HR Director, Direct Supervisor, and Internal Auditor

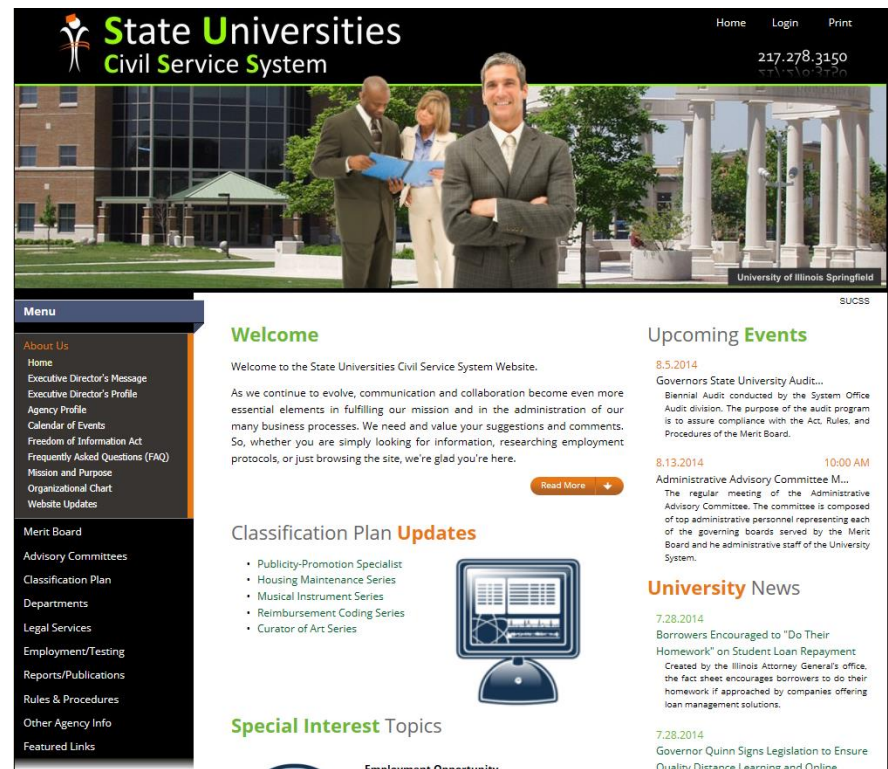


# Current Operations/Audit Projects

- Revision of Police Sergeant and Officer Elongated Oral Board Examination
- Demonstration Projects (Rule of 3, etc.)
- Reducing Number of Active Classifications
- Evaluating Current Classifications for Possible Exemption Status
- Procedure Manual Updates
- New Records Management Protocols
- Quarterly Reporting Improvements
- Development of Self Inspection Checklist
- Focus on Customer Service, Education and Training

# Technology Initiative: Websites

- Served nearly 8 million pages of content during FY14
- Rewritten in 2012 for improved speed, searching, content management, and mobile interface



# Technology Initiative: E-Test

- Developed in 2005
- Administered 105,000+ exams, including 80,000+ knowledge exams
  - University cost saving for every exam administered
- Currently being redesigned with ideas from Universities for increased speed and updated technology standards
- CUPA-HR “Best Practice” Award Winner 2006

4/15/2014 • The Disability Transportation Specialist Series is now available.

**SUCSS** STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Governor Pat Quinn    Chair James B. Montgomery    Executive Director Tom Needels

Home IPAT Applicant Add/Edit Applicant History Report Scheduling E-Test Typing Test LA Typing Score Register Generate Register Open Saved Voided Registers Roster/Removals Letters Reports Police Officer Reimbursement Coding Specialist Incomplete Register Options Custom Classes Customize Class Index Help Custom Classes

**Score**  
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Human Resource Associate  
Human Resource Associate  
Human Resource Associate  
Human Resource Associate

**Key**  
Green: KT, TT or CA Not Started  
Blue: KT, TT or CA In Progress  
Black: Completed

Applicant Information		Classification Information	
		Title	Human Resource Associate
		Custom Class	HR Associate (CS-18)
		Type	Original Entry
		Time Limit	0 hours
		No. Questions	

Knowledge Test		Credential Assessment	
Test Status	N/A	Status	Completed
Test Options	<a href="#">PRINT SCORE</a> <a href="#">NO MARK SCORE</a>	Options	<a href="#">EDIT</a>
PC Location	Credential Assessment	<b>Custom Letters</b>	
Emp. Location	Urbania	Exam Scheduled Notice	
Worksheet	No	Exam Score Notice	
Supp Materials	None		
Options	<a href="#">EDIT SCHEDULE</a> <a href="#">CANCEL TEST</a>		

**Comments**  
Applicant:  
Test:

© 2014 Sun, Jul 27 | Mon, Jul 28 | Tue, Jul 29 >>>

# Technology Initiative: C-JASI (Job Analysis Tool)

- Developed in FY 2006 in collaboration with Doctoral students from University of Illinois Urbana-Champaign
- Survey interface that collects job information from incumbents and supervisors, including duties, knowledge, skills, and abilities
- Administered nearly 2,500 job analysis surveys since inception
- Before development, previous surveys were conducted by private company at cost to Universities

## STATE UNIVERSITIES CIVIL SERVICE SYSTEM



Computerized Job Analysis Survey Instrument (C-JASI)

### C-JASI Survey

As a subject matter expert, you have been selected to participate in the State Universities Civil Service System's Computerized Job Analysis Survey Instrument (C-JASI). The results of the survey instrument will assist the University System Office in developing class specifications and associated examinations.

The results of the survey instrument are used to maintain current class specifications that accurately reflect the work of incumbents. In addition, this survey identifies the knowledge, skills, and other characteristics that are used to perform each task and duty, which will assist in determining the composition of questions used on civil service examinations. Those completing C-JASI are given the opportunity to provide feedback related to the minimum qualifications and other skills required for the identified classification.

All responses are confidential and are used solely for data collection. The C-JASI tool identifies work tasks and duties currently performed by employees in the designated classification. Since not all employees in a particular classification perform the exact same duties, select only the tasks that are actually performed on your job or in the designated classification at your location. Due to variations across job descriptions, it is possible that not all employees perform all the tasks listed and some may perform other tasks that do not appear on the original list. As needed, you will also be asked to add any additional task(s) that do not appear on the original list.

Thank you for your participation.

#### Tips

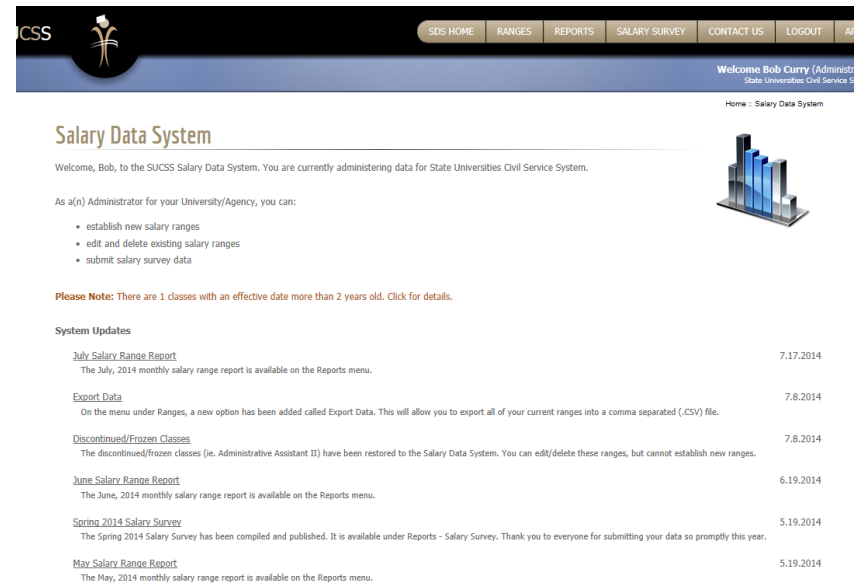
- Please complete the entire survey during one 'continuous process'. If you cancel the survey before finishing, you will need to restart from the beginning.
- Do not begin the survey unless you will have sufficient time to complete it; we anticipate this survey will take approximately 10 minutes to complete.

[Begin Survey](#)




# Technology Initiative: Salary Data System

- Developed in 2012
- Replaced outdated NIU system incorporating suggestions from the Universities
- No annual cost
- 4,500+ transactions since implementation, including 3 state-wide salary surveys



The screenshot shows the SUCSS Salary Data System web interface. At the top is a navigation bar with links: SDS HOME, RANGES, REPORTS, SALARY SURVEY, CONTACT US, LOGOUT, and a user profile for Bob Curry. Below the navigation bar is a welcome message and a list of administrative tasks. A 'Please Note' section mentions classes with old effective dates. A 'System Updates' section lists recent reports and surveys with their dates.

**SUCSS**  [SDS HOME](#) [RANGES](#) [REPORTS](#) [SALARY SURVEY](#) [CONTACT US](#) [LOGOUT](#) [Admin](#)

Welcome **Bob Curry** (Administrator)  
State Universities Civil Service System

Home - Salary Data System

## Salary Data System

Welcome, Bob, to the SUCSS Salary Data System. You are currently administering data for State Universities Civil Service System.

As a(n) Administrator for your University/Agency, you can:

- establish new salary ranges
- edit and delete existing salary ranges
- submit salary survey data

**Please Note:** There are 1 classes with an effective date more than 2 years old. [Click for details.](#)

### System Updates

<a href="#">July Salary Range Report</a> The July, 2014 monthly salary range report is available on the Reports menu.	7.17.2014
<a href="#">Export Data</a> On the menu under Ranges, a new option has been added called Export Data. This will allow you to export all of your current ranges into a comma separated (.CSV) file.	7.8.2014
<a href="#">Discontinued/Frozen Classes</a> The discontinued/frozen classes (ie. Administrative Assistant II) have been restored to the Salary Data System. You can edit/delete these ranges, but cannot establish new ranges.	7.8.2014
<a href="#">June Salary Range Report</a> The June, 2014 monthly salary range report is available on the Reports menu.	6.19.2014
<a href="#">Spring 2014 Salary Survey</a> The Spring 2014 Salary Survey has been compiled and published. It is available under Reports - Salary Survey. Thank you to everyone for submitting your data so promptly this year.	5.19.2014
<a href="#">May Salary Range Report</a> The May, 2014 monthly salary range report is available on the Reports menu.	5.19.2014



# Initiatives: Demonstration Projects

- Guidelines established in section 250.140(e)
- Project history:
  - Custom classes – completed and incorporated into rules, procedures
  - ‘Rule of Three’ – currently in place and reviewing data
  - ‘Special soft-funded programs’ – recently approved for UIC/Hospital
  - ‘Selective certification’ – in development stages





## Initiative – Electronic File Conversion

- Laserfiche software and scanning equipment utilized
- Support staff routinely assigned to scan and digitally convert paper files
- All future communications submitted and saved electronically if possible
- Records Retention policies altered to accommodate electronic files
- Significant shredding and elimination of paper files



# Initiative – Update of Operational Policies

- Routine review and revision
  - Statute
  - Administrative Code (rules)
  - Procedure Manuals
    - [www.sucss.illinois.gov/ProcMan/manuals.aspx](http://www.sucss.illinois.gov/ProcMan/manuals.aspx)
  - Agency Policies



# Office Policies

- Affirmative Action Program
- Computer and Internet Usage Policy
- Identity Protection Policy
- Merit Board Policy Relating to Employee Benefits
- Nondiscrimination and Anti-Harassment Policy
- Pay Administration Guidelines
- Policies Relating to Work Hours and Absences for Employees of the SUCSS
- Records Retention Policy
- Telecommuting Policy Procedures for Employees of the SUCSS
- Telephone Usage Policy
- Vehicle Usage Policy
- No Weapon Policy (new) – *NOTE: MB to review at August 2014 Meeting*



# Initiatives – Consultative Services

- Direct staff involvement with employer administrative/human resource staff
- Recent Projects:
  - ISAC Layoffs
  - ICCB Conversions
  - UIUC Power Plant
  - UIC Selective Certification Project
  - UIC HR Academy
  - UIC/UIUC/UIS E-Test/PRMS interface



## Challenges – Agency System Office

- Budget/Staffing
  - Constant budget reductions
  - Attracting and retaining specifically qualified professional personnel

# Staffing and Budget History

FY	Appropriation	Authorized Headcount	Actual Headcount
FY 2002	\$1,411,200	21	16
FY 2003	\$1,392,900	21	16
FY 2004	\$1,253,600	16	16
FY 2005	\$1,253,600	21	14
FY 2006	\$1,253,600	21	14
FY 2007	\$1,271,200	21	14
FY 2008	\$1,273,220	21	13
FY 2009	\$1,273,220	21	14
FY 2010	\$1,276,200	21	13
FY 2011	\$1,276,200	21	13
FY 2012	\$1,205,000	21	16
FY 2013	\$1,205,000	21	14
FY 2014	\$1,205,000	21	13
FY 2015	\$1,202,500	21	15 projection



## Challenges – Agency/System Office

- Facilities
  - Logistics
  - Costs
  - Safety and security
    - Environmental concerns
    - Personal/facility security

# Yearly Lease Costs

*Lease includes the following: all utilities, janitorial services, snow and ice removal, maintenance of lawn and shrubs, fire extinguisher maintenance, carpet cleaning, window washing service, waste disposal/removal, exterminating services*

<b><i>Fiscal Year</i></b>	<b><i>Total Sq. Feet</i></b>	<b><i>Yearly Cost</i></b>
FY 01	9,410	\$110,802.80
FY 02	9,410	\$135,158.96
FY 03	9,410	\$137,872.18
FY 04	9,410	\$140,601.10
FY 05	9,410	\$143,408.42
FY 06	9,410	\$146,309.82
FY 07	9,410	\$149,226.90
FY 08	9,410	\$152,222.48
FY 09	9,410	\$155,233.66
FY 10	9,410	\$158,323.22
FY 11	8,584	\$136,491.76
FY 12	8,584	\$132,021.96
FY 13	8,584	\$134,239.46
FY 14	8,584	\$134,682.96
FY 15	8,584	\$136,900.46
FY 16	8,584	\$22,890.66

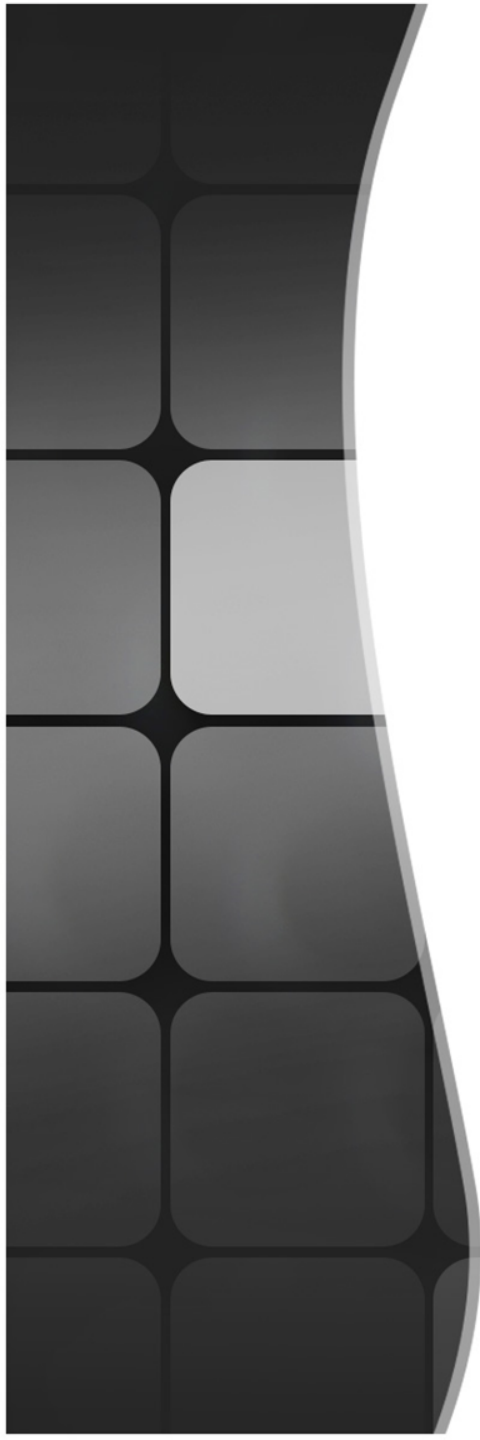
***Note: Current Lease expires 8/21/2015 (FY 2016)***





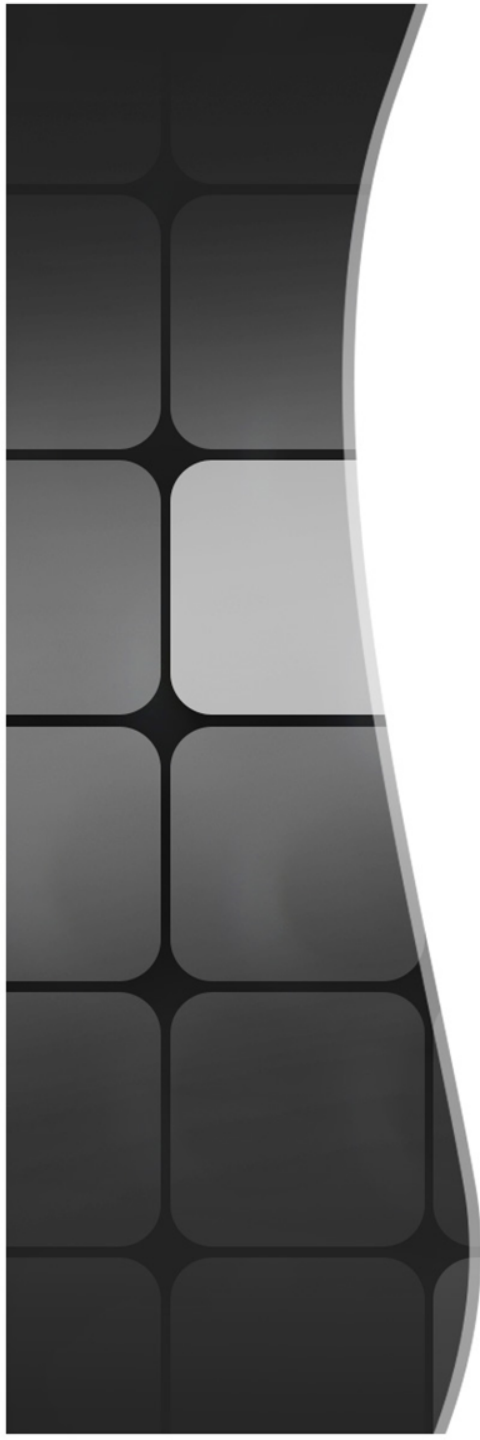
## Challenges – Agency/System Office

- Communications
  - Requirements
  - Maintaining technology
  - Postage and paper distribution



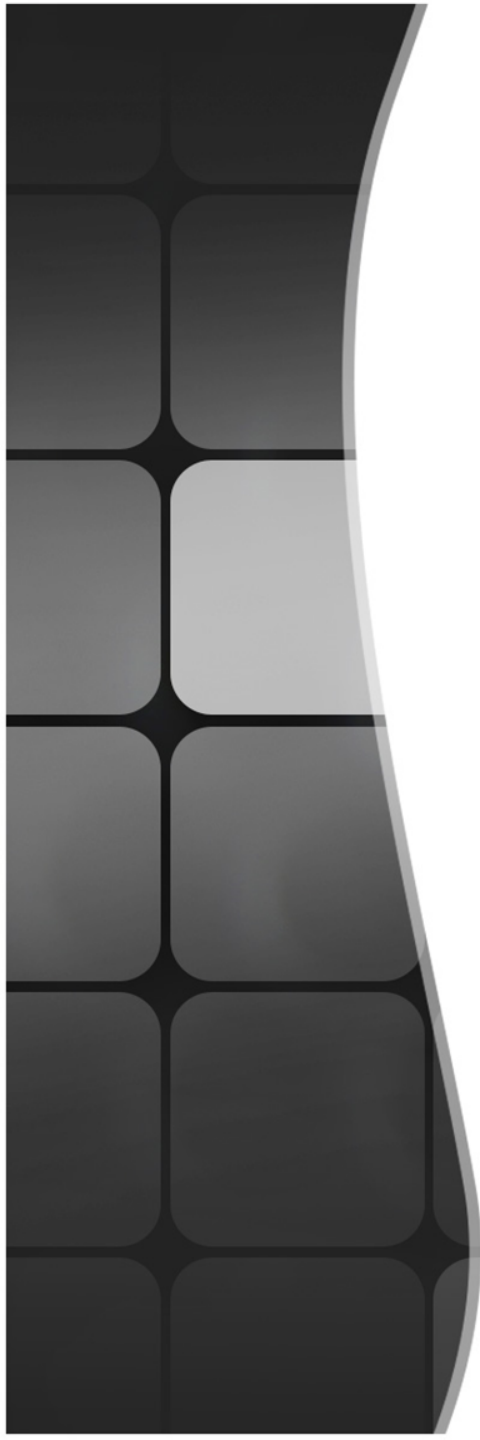
## Challenges – System-wide

- Cultural
  - Misperceptions about system regulations
  - Misunderstanding in relationship to other labor laws
  - Difference in employment relationships
  - Local policies are not progressive



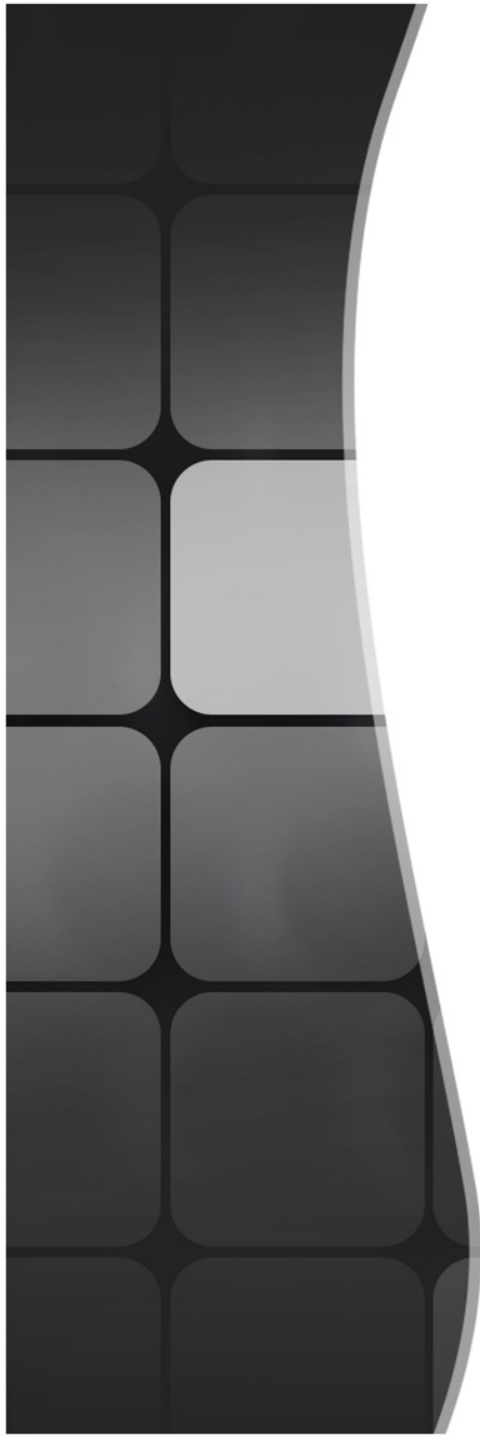
## Challenges – System-wide

- Political influence
  - External influence on Merit Board members
  - External influence on employment decisions
  - External influence on regulatory change



## Challenges – System-wide

- Change Management
  - Keeping classification plan current
  - Turnover of primary HR staff at employment locations
  - Movement to critical thinking skills requirement
  - Collaborative processes are cumbersome and slow



## Challenges – System-wide

- Exemption Question
  - Manifestation of other challenges
  - Require sophisticated job analysis process at campus level
  - Must accommodate constant change in class plan
  - Requires skilled HR staff to manage
  - Currently subject to extreme external political influence



# Goal Review and Development

- Overview of Current Goals/Metrics
- Goal Realignment
- Expectations/Evaluation of Director
  - Job description
  - Employment relationship



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